IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Assistant Commis Washington, D.C. Sir:	sioner for Paten 2023685 U.S. 10 09/29/00 is the patent application of:	Atty. Dkt.: 3642-2 Date: September 29, 2000	O'NE PTO	7.59/02/8 7.59/09/11/11/11/11/11/11/11/11/11/11/11/11/11
Inventor: WEINBE	ERGER L FUND ANALYSIS METHOI	O AND	10.0	
 ☑ Declaration 23 pages of sp 4 sheets of ac ☑ Record & re ☐ Priority is he is hereby inc 	corporated by reference in this	to the undersigned. 19 based on the following foreign a application:		
Application	Number	Country	Day/Month/Year Fi	iea
Please ame , the entire	by(ies) of foreign application(s) and the specification by inserting content of which is hereby incorreby claimed under 35 USC 1 antent of which is hereby incorrect.	g before the first lineThis is a orporated by reference in this appl 20/365 based on the following prio porated by reference in this applica	ication r PCT applications designating tion:	
Application	Number	Country	Day/Month	Year Filed
respectively hereby claim Please ame Provisional incorporated Two (2) Ver	eation No. 56,886 the entire content of which is ned therefrom. The specification by inserting the specification by inserting the specification by inserting the specification of the specification	prior provisional application(s): Filing Date 30 September 1999 hereby incorporated by reference i g before the first line: This appliced September 30, 1999, the entire on ablishing "small entity" status (Rules) prior art cited in the parent application.	cation claims the benefit of U.S content of which is hereby s 9 & 27)	S. •
Also attache	amendment to claims (attached) d: Exclusive Substitute Pov	ed hereto), to be entered before cal ver of Attorney by Assignee with LAIMS AS FILED LESS ANY HER	copy of Assignment attache	ed
Basic Filing Fee Total effective claim Independent claims If any proper multiple	s 20 - 20 (at least 20) = 3 - 3 (at least 3) =	0 x\$ 18.00 0 x\$ 78.00 r first time, add \$260.00 (ignore improp	- \$ \$	690.00 0.00 0.00 0.00 690.00 345.00)
Assignment Recordi			SECOND SUBTOTAL \$` \$ OTAL FEE ENCLOSED \$	345.00 [°] 40.00 385.00
The Commissioner i	s hereby authorized to charge an	s hereby stated to include a petition for deficiency in the fee(s) filed, or assert application by this firm) to our Accoun	such time extension. ed to be filed, or which should ha	ve been
1100 North Glebe R Arlington, Virginia 22 Telephone: (703) 8 Facsimile: (703) 810 AMK:jls	2201-4714 6-4000	NIXON & VANDEF By Atty: Alan M. K Signature:	RHYE P.C. lagen, Reg. No. 36,178	

462937

Applicant or Patentee:	BERG	ER		ney's. Dkt. No. 3642-2	
Serial or Patent No.:	To Be Assigned				
Filed or Issued:	Concurrently He	rewith			
For:	MUTUAL FUND ANALYSIS METHOD AND SYSTEM				
	VERIFIED STA STATUS	ATEMENT (DECLAR) [37 19(f) and 1.27(c)	ATION) CLAI] - INDEPENI	MING SMALL ENTITY DENT INVENTOR	
As a below named involuted involute and invo	duced fees under So	ection 41 (a) and (b	an independ) of Title 35,	dent inventor as defined in 37 CFR 1.9(c) for United States Code, to the Patent and	
	MUTUA	L FUND ANALYSI	S METHOD	AND SYSTEM	
described in					
the specificatio	n filed herewith.				
application Ser	ial No To !	Be Assigned	_ , filed	Concurrently Herewith	
patent No.			_ , issued		
convey or license, any 37 CFR 1.9(c) if that p	rights in the inventi erson had made the	ion to any person w e invention, or to an	rho could no ly concern w	igation under contract or law to assign, grant, t be classified as an independent inventor und thich would not qualify as a small business .9(e).	
convey or license, any 37 CFR 1.9(c) if that p concern under 37 CFF Each person, concern under contract or law to no such p	rights in the inventiverson had made the an inverse filter 1.9(d) or a nonpro	ion to any person we invention, or to an fit organization und which I have assignately, or license any organization	tho could no by concern wer 37 CFR 1 ed, granted, rights in the	t be classified as an independent inventor und rhich would not qualify as a small business	
convey or license, any 37 CFR 1.9(c) if that p concern under 37 CFF Each person, concern under contract or law to the persons, one persons, one concern that is no such possible persons, one concern that is no such possible persons, one concern that is not concern th	rights in the inventi- person had made the R 1.9(d) or a nonpro- or organization to valous assign, grant, con- person, concern, or of concerns or organizated statements are r	ion to any person we invention, or to an fit organization und which I have assigned as any organization cations listed below the equired from each in the invention of the equired from each in the invention of the equired from each in the equired	tho could no by concern wer 37 CFR 1 ed, granted, rights in the	t be classified as an independent inventor und thich would not qualify as a small business .9(e). conveyed, or licensed or am under an obligati	
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I acknowledge the duty to file, in this application of patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. [37 CFR 1.28(b)]

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under § 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

Alan L. Weinberger		
NAME OF INVENTOR	NAME OF INVENTOR	NAME OF INVENTOR
Slaw J. Memberser		
Signature	Signature	Signature
9-27-2000		
DATE	DATE	DATE

Form PTO-FB-A410 (8-83)

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OMB No. 0651-0011 (12/31/8)	OMB No	. 0651-0011	(12/31/86)
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Applicant or Patentee:	W. BERGER	Antorney'	s Dkt. No.	3642-2
Serial or Patent No.:	To Be Assigned			
Filed or Issued:	Concurrently Herewit			
For:		FUND ANALYSIS METHOD AND SYSTEM		
	VERIFIED STATEME	NT (DECLARATION) CLAIMING SMALL E	NTITY	•
		and 1.27(c)] - SMALL BUSINESS CONCE	HN	
I hereby declare that I				
		s concern identified below:		-Aifi - al le allacce
		s concern empowered to act on behalf of the	e concern ide	ntified below:
	OF CONCERN G*G*		0101 /100	
ADDR	ESS OF CONCERN 2	241 Cedar Cove Court, Reston, Virginia 26 business concern qualifies as a small busin	0191-4100	as defined in 13
CED 121 2-19 and ron	roduced in 27 CER 1.9	d), for purposes of paying reduced fees und	er section 41	(a) and (b) of Title
25 United States Code	in that the number of	employees of the concern, including those of	f its affiliates.	does not exceed
500 nereone For nurn	nees of this statement (1) the number of employees of the business	concern is th	ne average over
the previous fiscal year	r of the concern of the p	ersons employed on a full-time, part-time or	temporary ba	asis during each o
the pay periods of the f	fiscal vear. and (2) cond	erns are affiliates of each other when either,	directly or in-	directly, one
concern controls or has	s the power to control th	e other, or a third party or parties controls or	has the pow	er to control both.
		•		
		w have been conveyed to and remain with t	ne small busi	iness concern
identified above with re	egard to the invention, e	ntitlea:		
	MITHAL FL	IND ANALYSIS METHOD AND SYSTEM		
· .	MOTORET	ANALISIO MILLION MILLON		
by inventors		WEINBERGER		described in
	on filed herewith.			
application Seri	al No.	, filed		
patent No.	<u></u>	, issued		
If the rights held by the	above-identified small	pusiness concern are not exclusive, each inc	ividual, conc	ern or person, other tha
organization naving rig	nts to the invention is ill	ted below* and no rights to the invention are endent inventor under 37 CFR 1.9(c) if that p	areon made	the invention or
by any concern which	would not qualify as a s	nall business concern under 37 CFR 1.9(d),	or a nonprof	it organization
under 37 CFR 1.9(e).*	NOTE: Separate verifie	d statements are required from each named	person, con	cern or
organization having rig	hts to the invention ave	ring to their status as small entities (37 CFR	1.27)	
Name				
Address				
•	Individual	Small Business Concern	rganization	
Name				
Address	1.05.20.00	O Nonprofit	rappization	
•	Individual	Small Business Concern	rganization	
	u to file in this applicativ	n of patent, notification of any change in sta	tue regulting	in loss of
ontitlement to small en	y to me, in this applicant itity etatue prior to pavin	g, or at the time of paying, the earliest of the	issue fee or	anv maintenance
foo due after the date	nn which status as a sm	all entity is no longer appropriate. [37 CFR	1.28(b)]	any manner
166 due allei ule dale i	on which states as a sir	an only to no longer appropriate. (e. e		
I hereby declare that a	II statements made here	in of my own knowledge are true and that a	Il statements	made on
information and belief	are believed to be true;	and further that these statements were made	e with the kno	owledge that willfu
false statements and t	he like so made are pur	ishable by fine or imprisonment, or both, un	ider § 1001 o	f Title 18 of the
United States Code, a	nd that such willful false	statements may jeopardize the validity of the	e application	, any patent
¢ ຂາມ່ວດ.thereon. ດາ. ລາງ	y, patent to which this ve	rified statement is directed		
-				
NAME OF PERSON S		Alan L. Weinberger		
	THER THAN OWNER	President and CEO	0404 4400	
ADDRESS OF PERSO	ON SIGNING ///	, 2241 Cedar Cove Court, Reston, Virginia 2		
SIGNATURE (A	Kan (1. (Ble	where DATE 9-	- 27-200	0